Documentum Records Manager (RM) v3.1 by Documentum, Inc.

Documentum RM Summary Report

The Joint Interoperability Test Command (JITC) tested Documentum Inc.'s Documentum RM, v3.1, a stand-alone records management application (RMA), at the Documentum facility in Ottawa, Canada from 5 through 9 May 2003. Testers used version 7.0 of the Test Procedures. Documentum RM can be configured to be compliant with Chapters 2 and 4 of the DoD 5015.2-STD, dated June 2002, and satisfied all mandatory requirements.

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1. Product Identification

Documentum RM v3.1 is a stand-alone records management application.

The ForeMost Enterprise software package, as tested, consisted of the following component programs and utilities:

- Documentum RM v3.1
- Documentum RM Classified Records Configuration Module
- Crystal Reports (Must be purchased separately)*

* Documentum RM v3.1 ships with the run time version of Crystal Reports. Administrators who design report templates need to purchase the full version of Crystal Reports separately. Documentum RM v3.1 supports Crystal Reports v8 or v9.

2. Test Configuration

The baseline test configuration consisted of:

- One personal computer (PC) running the Microsoft (MS) Windows 2000 Advanced Server (SP3) operating system (OS), MS SQL Server 8.0 (SP2).
- One PC running MS Exchange 5.5e (SP3).
- One client PC running MS Windows XP Professional (SP1). Installed software included MS Office 2000 (SP1) and MS Outlook 2000.

In follow-on tests, Documentum E-Content Server v5.1 and EMC Centera v2.0 served as the record repositories.

In a previous test configuration[1], JITC repeated the certification test using the Oracle 8i database.

3. RMA Mandatory Requirements

3.1 Managing Records [C2.1.1.]

Documentum RM manages electronic, non-electronic, and e-mail records. It stores electronic records in its repository and maintains them in their original, native file format. Users maintain records stored on other media, such as paper, diskette, or tape by adding metadata through the user interface.

3.2 Accommodating Dates and Date Logic [C2.1.2.]

Documentum RM stores and displays dates using a 4-digit year format, and recognizes leap years including the year 2000. The product accepts user input of valid dates from current, previous, and future centuries.

3.3 Implementing Standard Data [C2.1.3.]

Documentum RM provides the capability to implement standardized data. Records managers create data entry templates. They can assign default values to metadata fields and can also assign default templates to users. In addition, they can create pick lists to assist the user in filling out the templates.

The records manager can configure Documentum RM with all the data elements as defined in DoD 5015.2-STD. The records manager can also configure Documentum RM with additional fields for custom use. Custom fields are added to the data entry templates using the Documentum RM Profile Designer. The records manager or system administrator can modify the order in which the fields appear on the template.

3.4 Backward Compatibility [C2.1.4.]

This is the first test for this product against version two of DoD 5015.2-STD[2], therefore test data was not available to verify backwards compatibility.

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[1] The previous configuration was as ForeMost Enterprise v3.0, tested in September 2002.
[2] Backwards Compatibility is a new requirement in the June 2002 version of DoD 5015.2-STD.

3.5 Accessibility [C2.1.5.]

Documentum RM provided the 508 Voluntary Product Accessibility Templates (VPATS) provided as Appendix C in the detailed test report.

3.6 Implementing File Plans [C2.2.1.]

Documentum RM provides the required capabilities for creating and maintaining disposition instructions and file plans. ForeMost stores the information in a relational database.

Disposition instructions are assigned to record plan components when creating the file plan categories. If a disposition instruction is assigned at the file level, components under that level inherit the same disposition instruction unless another disposition instruction is specified for that component.

Access to the associated Documentum RM functions is granted/restricted through the assignment of privileges to groups and/or users using Access Control Lists (ACLs). Documentum RM provides support for multiple levels of file plan access. During the test, "privileged" users were able to create and manage folders.

3.7 Scheduling Records [C2.2.2.]

Documentum RM provides qualification tools for tracking the disposition schedules for screening and disposition processing. Records managers reschedule files by assigning a different disposition instruction to the file or altering the retention period (which reschedules all records associated with that schedule). If the records have previously been qualified under a previous retention rule, they must be unqualified and re-qualified under the new rule.

3.8 Declaring and Filing Records [C2.2.3.]

Documentum RM provides several methods for filing records. Users can file directly into the Documentum RM repository from within the main client by navigating to the appropriate file category, right clicking, and selecting "New Electronic Document" or "New Non-Electronic Document" for paper records. Users select the most appropriate template to add the record metadata.

Users also have the option of filing records to Documentum RM using Windows Explorer. They can right click on the document they wish to file and select "File to Documentum" from the menu. Users can also drag and drop files from Windows Explorer onto the Documentum RM application.

In addition, Documentum RM provides an MS Office plug-in for filing records to Documentum RM from within MS Word, Excel, and PowerPoint. Users select "File to Documentum" on the toolbar, select the appropriate template, and complete the record metadata to file the record.

At the time of filing, Documentum RM assigns a unique record identifier and a date/time stamp to each record. The date/time stamp serves as the required Date Filed profile field. Users cannot modify either field.

3.9 Filing E-mail Messages [C2.2.4.]

Documentum RM provides the capability to file e-mail messages from MS Outlook 2000. Documentum RM automatically captures message transmission and receipt data to populate the Author/Originator, Addressee(s), Publication Date, and Subject record profile fields.

When filing Outlook e-mail that has an attachment(s), ForeMost presents the user with 2 filing options:

- **E-mail Only**. Stores the e-mail only as an .msg file. Users can save attachments to their hard drives and file them as any other electronic document.
- **E-mail and Each Attachment as a Record**. Stores the e-mail as an .msg file (which includes the attachments) and, in addition, stores each attachment separately in its native file format.

Documentum RM also allows users to file e-mail upon sending, if desired.

3.10 Storing Records [C2.2.5.]

Documentum RM uses the server's NT File System (NTFS) for storing and preserving electronic records. The ACL permissions assigned at the series, file, and folder levels determine who has access to the records and what they can do with those records. Only users with appropriate access can delete records from the repository.

File plan and document profile data are stored separately from the actual records in a relational database. MS SQL Server 8.0 during the compliance tests.

JITC tested two additional document repositories during follow-on tests: Documentum E-Content Server v5.1 and EMC Centura v2.0. Both repositories allowed users to file and retrieve records, and worked with Documentum RM as required during transfer and destruction processes.

3.11 Screening Records [C2.2.6.1.]

Records managers perform screening functions using the Disposition Query template in the System Tools utility. From here, they design queries and reports for information relating to records that are qualified for disposition, including migration, transfer/accession, or destruction. Records managers can enter a future date to calculate disposition for planning purposes.

3.12 Closing Record Folders [C2.2.6.2.]

Documentum RM offers records managers and privileged users the ability to close folders by assigning edit privileges to record category metadata. Privileged users can only close folders in the record categories in which they have been assigned folder management privileges.

3.13 Cutting Off Record Folders [C2.2.6.3.]

To cutoff record folders, records managers select the folder they wish to perform cutoff on and change the "Status" metadata for that folder to “Inactive”. By cutting off the folder, all records within that folder are cutoff as well.

3.14 Freezing/Unfreezing Records [C2.2.6.4.]

Documentum RM provides the ability to freeze and unfreeze records at all levels of the file plan. If a record series is frozen, all files, folders, and documents in that series do not qualify for disposition processing.

If a record is frozen after it has already been qualified for disposition, when the records manager performs the final disposition action, the record will not be transferred or destroyed.

3.15 Transferring Records [C2.2.6.5.]

Documentum RM does not distinguish between record transfers and record accessions. Using the Export utility, metadata and/or document content are copied from the repository. Metadata is marked as transferred. After the final transfer or accession, the records manager may use an administrative delete to remove the metadata from the database.

To search for folders due for accession or transfer, the records manager queries the database using the Export Query. Documentum RM presents a list of records that qualify for transfer and the records manager verifies that they should be transferred. Documentum RM then writes the affected electronic records and record metadata to a user specified directory and deletes these items from the repository if that option is selected. The extracted metadata is in XML format.

3.16 Destroying Records [C2.2.6.6.]

To destroy records, the records manager uses the Disposition Query to search for records due for destruction, selects them, and verifies that they should be destroyed. Documentum RM then deletes the records from the repository and marks the metadata as disposed.

Record content cannot be reconstructed once deleted.

3.17 Cycling Vital Records [C2.2.6.7.]

Documentum RM provides the ability to gather records based on cycling dates and to do bulk updates of cycle dates after records have been reviewed. During the September 2002 test, the vendor attached a special compiled module to notify the records manager when records were due to be reviewed.

3.18 Searching for and Retrieving Records [C2.2.6.8.]

Documentum RM provides the required capability for searching for and retrieving records. Inter-field operators are available in the event the user wants to perform nested searches. Users also have an opportunity to select exactly what fields should be presented in the search results. ForeMost allows users to export copies of the records to their hard drives.

3.19 Access Controls [C2.2.7.]

Records managers assign Documentum RM functional access to files and folders at the user and/or group level using ACLs. ACLs are set at the record category or folder level to assign filing and/or search and retrieve access to users/groups.

Documentum RM supports multiple-user access. During much of the certification test, two users worked simultaneously performing various functions including filing system maintenance, document filing, record retrieval, reporting, and disposition activities.

3.20 System Audits [C2.2.8.]

Administrators determine what events to log for each Documentum RM object type. Examples of audited events include create, edit, delete, file plan maintenance functions, move, copy, and view profile. ForeMost can also audit user events such as create, edit, delete, login, logout, and failed login.

Documentum RM collects the audit metadata specified in the Standard, however, it does not collect sufficient data to adequately reconstruct a user's attempt at unauthorized access.

3.21 System Management Requirements [C2.2.9.]

MS Windows 2000 Advanced Server and the MS SQL 8.0 relational database system provided the required system management capabilities.

4. Non-Mandatory Features Demonstrated

4.1 Making Global Changes [C3.2.1.]

Documentum RM provides the capability to make global changes to Documentum RM objects. Global changes are an extension of reporting. Once users generate reports, they can perform a mass update on the report results by selecting the desired files. Documentum RM presents a template with all fields available to the object through which users perform the global change.

4.2 Bulk Loading Capability [C3.2.2.]

Documentum RM provides bulk load capability using the application's XML utility. Organizations can bulk load file plans, disposition instructions, and records into the Documentum RM application.

4.3 Interfaces to Other Software Applications [C3.2.3.]

Documentum RM includes a Microsoft Office plug-in for MS Word, Excel, and PowerPoint. Users can file records to Documentum RM by selecting the "Documentum" toolbar button from within the application. They can also perform a search of the Documentum RM repository from within Word, Excel, or PowerPoint by pressing the "Documentum" toolbar button.

4.4 Report Writer Capability [C3.2.4.]

Documentum RM has a generic reporting capability. Users perform searches in the database on any metadata field using the Documentum RM Search module. Users can also perform advanced searches using inter-field operators. They specify the sort order and configure the search results list in the User Preferences module, prior to executing the search.

Additional reporting capability is available to Records managers using a combination of the Documentum RM Report Query and Crystal Reports.

4.5 On-Line Help Capability [C3.2.5.]

Documentum RM provides on-line documentation. Users access help from the Help menu available from every Documentum RM screen. Users can search the contents, index, or search on a topic of their choice.

4.6 Bar Code Capability [C3.2.8.]

Bar codes can be assigned at the document, folder, or box level in Documentum RM. Bar codes can be assigned automatically or manually by configuring the bar code options in the System Configuration utility. Bar codes can be used for document, folder, and box tracking, check-out, and return.

4.7 Retrieval Assistance Capability [C3.2.9.]

Documentum RM provides an advanced search capability accessible to all users through the ForeMost Search module. Users can perform a search on any metadata field and use inter-field operators to narrow the search results list. Users can save their search criteria for frequent use.

4.8 File Plan Component Selection/Search Capability [C3.2.10.]

Documentum RM provides the capability to perform a search of the Documentum RM file plan. Users perform a File Query search to retrieve a list of file plan components to which they have access.

4.9 Records Management Forms Production [C3.2.12.]

Documentum RM provides records management forms production capability using Crystal Reports.

4.10 Print File Label Capability [C3.2.13.]

Documentum RM provides print file label capability using Crystal Reports.

4.11 Internal Viewer Capability [C3.2.14.]

The Documentum RM application ships with Inso Corporation's Outside In Viewer Technology (OIVT). The OIVT has the capability to view over 250 different document types. Documentum RM can be configured to open records in their native application, in the OIVT, or another viewer of the organization’s choice.

4.12 Web Capability [C3.2.15.]

Documentum RM provides the capability to file, search and retrieve, and reserve records over the web. The application is available through includes MS IE 5.01,5.5 and 6.0 (with 128 bit encryption) as well as Netscape 7.2 (without Viewer support).

4.13 Enhanced Support for Off-Line Records [C3.2.17.]

Documentum RM provides additional support for off-line records using bar coding capability and Crystal Reports to support tracking and management of off-line records.

5. Management of Classified Records

Documentum RM was configured to satisfy all Chapter 4 requirements. The following paragraphs highlight Documentum RM's implementation of specific Chapter 4 requirements.

5.1 Managing Classified Records [C4.1.]

Documentum RM provides the capability to manage classified records using the Documentum RM Classified Records Configuration Module. When the Configuration Module is installed, users can define custom fields to describe the classified record and file it to the Documentum RM repository.

5.2 Mandatory Metadata [C4.1.1.]

Documentum RM can be configured to provide all the classified metadata elements as specified in Table C4.T1. of the Standard.

5.3 Classification Guides [C4.1.10.]

Documentum RM implements classification guides as filing profiles. When a designated filing profile is selected, the "Reason(s) for Classification," "Initial Classification," "Current Classification," and "Declassify On" fields are pre-populated. Additionally, users will only see those filing profiles that match their security permissions.

5.4 Editing Records [C4.1.12.]

Authorized users can search for classified records due for downgrade or declassification. If the classification status of the record changes, authorized users are allowed to edit the classified record metadata.

5.5 Restricted Data and Formerly Restricted Data [C4.1.13.]

Documentum RM provides the capability to handle classified records with the "Restricted Data" and "Formerly Restricted Data" supplemental markings. When a user selects either marking, any data in the "Downgrade On" and "Declassify On" fields will not be saved.

5.6 Record History Audit [C4.1.16.]

Documentum RM record history audit captures replaced metadata values, and the user who entered that value. Users can view, copy, save, and print the audit log based on their access permissions. The capability to delete the audit log is reserved for authorized users only.

5.7 Access Control [C4.1.20.]

Documentum RM provides the capability to restrict access to records and their metadata based on access criteria. Users are assigned a classification (security) level of Top Secret, Secret, Confidential, or No Markings. Security levels are hierarchical, therefore, those users assigned a "Secret" security level will only see documents marked Secret and below.

Users are also assigned supplemental markings. Supplemental markings do not override a user's access, but work in conjunction with the user's designated classification level to partition access. Additionally, Documentum RM has the ability to restrict access on user-defined fields.

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